

Annex 2, Continuity of Operations

Primary Agency: Illinois Emergency Management Agency (IEMA)

All Agencies: General Requirements for Other State Agencies, Boards and Commissions

I. Introduction

A. Purpose

1. Provide strategic and operational guidance for State Emergency Operations Center (SEOC) support of state agency Continuity of Operations Plan (COOP) implementations.

B. Scope

1. SEOC support for individual agency continuity of operations activities is addressed through the IEOP and supportive documentation.
2. SEOC supported operations are scalable and modular based on the scope and magnitude of event, and ability of an agency to reestablish identified critical processes, reconstitute and or devolve.
3. State utilization of resources in support of individual agency continuity of operations activities is designed to augment existing efforts.
4. This annex addresses support for the restoration of critical processes, reconstitution, and devolution.
5. For the purposes of the state of Illinois, the following definitions will apply to COOP:
 - a) Critical Processes – Functions, services, applications and/or mission essential roles and responsibilities that must be continued with little or no interruption.
 - b) Reconstitution - Resumption of full, normal operations with a return to the primary facility or designated alternate facilities.
 - c) Devolution - The transfer of statutory authority and responsibility to other agencies, staff and/or facilities for the continuation of critical processes.
6. This annex does not address financial and administrative processes for individual agency COOP operations.
7. This annex does not address the programmatic functions and authorities of individual agencies.

8. This annex applies to state agencies, boards and commissions having a primary role or responsibility in response and short, intermediate and long-term recovery.

C. Policy

1. Implementation of this annex will not supersede any individual agency's administrative protocols or policy concerning COOP.
2. Procedures for utilization, control and use of resources in support of COOP will incorporate and/or consider operational priorities that include, but are not limited to the protection of life, public health and safety, property protection, environmental protection, restoration of essential utilities, restoration of essential program functions and coordination as appropriate.
3. Agencies will provide disaster intelligence collected through individual agency COOP operations to the SEOC.
4. Agencies requesting SEOC support of COOP operations will provide strategies and priorities required for the continuation and restoration of critical processes, and agency reconstitution or devolution.
5. The SEOC will provide technical and logistical assistance in support of COOP operations as requested and approved.
6. State agency personnel will be trained to the assigned mission and, to the extent possible, be made aware of potential risks involved.
7. Agencies conducting COOP operations are responsible for training personnel in requirements and processes.
8. At the direction of the Governor or designee, state agencies without a direct response role may be tasked with providing agency personnel in support of COOP operations.
9. State agencies having a primary role or responsibility in response and short, intermediate and long-term recovery will develop and maintain a COOP.
10. State agencies having a primary role in response and recovery will notify the SEOC of the implementation of individual agency COOP plans and/or the inability to preform missions directed through the IEOP.

D. Situation Overview

1. A disaster has or is expected to occur resulting in the inability of state agencies to continue normal operations due to impacts on staff, land and property or services.

2. Agency staff and executive officials are contacting the SEOC regarding assistance.
3. Agencies are engaged in COOP operations and require resource support for continuation and restoration of critical processes.

E. Assumptions

1. Agencies will independently implement COOP.
2. COOP implementation will require determination of the availability of resources for staff augmentation.
3. Individual agency resources are insufficient for the coordination, management and resourcing of COOP.
4. SEOC assistance is required to continue and restore critical processes.
5. Impacts to individual agency operations are not fully identified.
6. Pre-identified alternate facilities and work locations are available.
7. Individual agency COOP plans are current and accurate.
8. Critical processes have been identified.
9. Delegations of authority have been established.
10. Lines of succession for senior leadership and critical processes have been established.
11. Vital record safety and preservation resources have been identified.
12. Key personnel required for COOP implementation are available.
13. COOP implementation and operations are not directly affected by secondary threats or hazards.
14. Individual agency COOP training and exercises have been conducted to ensure personnel familiarity with plans and procedures.
15. Reconstitution and devolution plans have been developed.

II. Concept of Operations

A. General

1. The SEOC will utilize processes established through the IEOP to support individual agency COOP operations.

2. Personnel activated by the state in support of COOP operations will be coordinated and managed through the SEOC or individual agencies as designated.
 3. Needs identified through COOP operations will be incorporated into the SEOC Common Operating Picture (COP) and situational reports.
 4. The SEOC will evaluate and assess capability, continuation of services and immediate needs identified through individual agency COOP operations.
- B. Notification, Alert and Warning (NAW)
1. SEOC notification, alert and warning of SEOC liaisons will be handled in accordance with IEOP Appendix A-1, Notification, Alert and Warning
 2. Primary and support agencies are responsible for internal and support partner notification.
 3. Agencies are responsible for internal notifications, alerts and warnings of COOP implementation.
- C. Activation
1. SEOC Activation Level SOP will be used to determine staffing levels necessary for damage assessment coordination.
 2. Agencies are responsible for activation of COOP operations.
- D. Communications
1. Communications throughout response and recovery will be conducted in accordance with standard operating procedures and managed using established procedures, processes and policy outlined in IEOP Annex 3, Communications.
 2. Communications will be conducted in a NIMS compliant manner utilizing clear-text and frequencies coordinated with the SEOC.
- E. Resource Management and Logistics
1. Resource management and logistics will be carried out in accordance with IEOP Annex 9, Resource Management.
 2. Resource management includes mutual aid agreements and assistance agreements; the use of special federal and state teams; and resource mobilization protocols.
- F. Reporting Requirements

1. SEOC information, intelligence and situation reporting will be conducted in accordance with the SEOC Situation and Rapid Needs Assessment Standard Operating Guideline.

G. Implementation Requirements

1. Notification, activation and deployment of SEOC personnel will be conducted in accordance with the SEOC Management and Coordination SOP.
2. Implementation of COOP operations support is predicated on approval of a request from a state agency by the SEOC.
3. Coordination and sustainment requirements of COOP support operations must be fully addressed prior to implementation.

H. Organization

1. Direction and Control
 - a) State agencies and external organizations retain operational control of owner-controlled resources.
 - b) The SEOC is the single point of coordination for state support of COOP operations.
2. Coordinating Elements
 - a) N/A
3. Federal Coordination
 - a) The SEOC will coordinate inclusion of federal assets into state support of COOP operations.
 - b) SEOC LNOs, state agencies, boards and commissions will coordinate with federal counterparts in accordance with enabling authority.

III. Roles and Responsibilities

A. Illinois Emergency Management Agency (IEMA)

1. Coordinate collection, receipt, compilation and development of situational reports on damage impacts to services, facilities, sites and programs at the federal, state and local levels.
2. Coordinate collection, receipt, compilation and development of situational reports based on disaster intelligence and information received from state and federal agencies.

3. Collect, analyze, de-conflict and disseminate situational reports.
4. Prioritize and participate in COOP operations.
5. Develop and maintain maps, visual aids and displays for COOP in coordination with:
 - a) Primary and support agencies
 - b) Boards and commissions
 - c) Voluntary and community-based organizations
 - d) Private sector organizations
 - e) Federal and external state agencies
 - f) Local governments
 - g) Executive and senior leadership
6. Provide just-in-time-training and/or site specific training to personnel assigned responsibilities, missions and tasks in support of individual agency COOP operations.
7. Coordinate with federal agencies and representatives.
8. Determine the need to request federal disaster assistance.

B. All Agencies: General Requirements

1. Provide resources in support of requests approved by the SEOC.
2. Identify impacts of internal and external COOP activations.
3. Notify the SEOC of the implementation of COOP plans and/or the inability to preform missions directed through the IEOP.
4. As directed by the SEOC, identify land and properties suitable for alternate facilities and work locations.
5. As directed by the SEOC, identify functions, services, applications and/or staff available to support the continuation and restoration of external agency's critical processes.

IV. Authorities and References

A. Authorities

1. Illinois Emergency Management Agency Act (20 ILCS 3305), as amended.

2. 5 ILCS 275 Emergency Interim Executive Succession Act, as amended.
3. 5 ILCS 705 Successor Agency Act, as amended.
4. 5 ILCS 195 Emergency Seat of Government Act, as amended.
5. Individual Agency COOP Plans, most recent version.

B. References

1. Illinois Emergency Operations Plan, as amended.
2. Continuity Guidance Circular 1 (CGC 1), as amended.
3. Continuity Guidance Circular 2 (CGC 2), FEMA P789, as amended.
4. Continuity Assistance Tool (CAT), FEMA P788, as amended.